

EMS EEC Trading Partner Users' Manual

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SECTION 1

INTRODUCTION

This document describes the screens for the Trading Partner (TP) Interface software for the EMS EDAF/ETR (EEC) consolidation. When the acronym EMS is used in this document, the reference is to the EEC Subsystem of EMS. The exhibits displaying the interaction between the TP and the EMS are not screen shots. Therefore, the spacing on the actual displays may be different.

This document is divided into sections for the following activities:

- Trading Partner Registration, Section 2
- Logging On to the System, Section 3
- Changing Settings, Section 4
- Receiving Acknowledgments, Section 5
- Sending Files, Section 6
- Requesting Transmission Status Report, Section 7
- Logging Off the System, Section 8
- Trading Partner Session Examples, Section 9

The main changes for PY2005 are the addition of a new menu item, Request Transmission Status Report and removal of two communication protocols, XMODEM-CRC and XMODEM-CHKSM. The document has been reorganized to reflect that one Electronic Transmitter Identification Number (ETIN) can be used for both IMF (Individual Master File) and BMF (Business Master File) applications.

Secure internet filing through the Trading Partner Interface system will be available to TPs for PY2005. Refer to the *Interface Control Document Between External Trading Partners and Electronic Management System for Encryption* for more information.

SECTION 2

TRADING PARTNER REGISTRATION

Trading partners register with the Third Party Data Store (TPDS) in order to obtain an ETIN to be used to log on to EMS. TPs can be registered to send files as transmitters, reporting agents (RA), or both. Reporting agents are authorized to sign the tax return they are submitting by entering a PIN. Transmitters only submit the tax return for others, but cannot sign the returns. States that will be participating in the State Acknowledgment program need to register with TPDS as a state only transmitter. It is important to know how a TP is registered to send files as well as how the TP is sending a particular file (either as a transmitter or as a reporting agent). The send files screen prompts differ based on TPDS registration.

SECTION 3

LOGGING ON TO THE SYSTEM

The following discussion describes how a TP logs on to the system. Exhibit 3-1 illustrates the TP login along with information displayed by the Operating System.

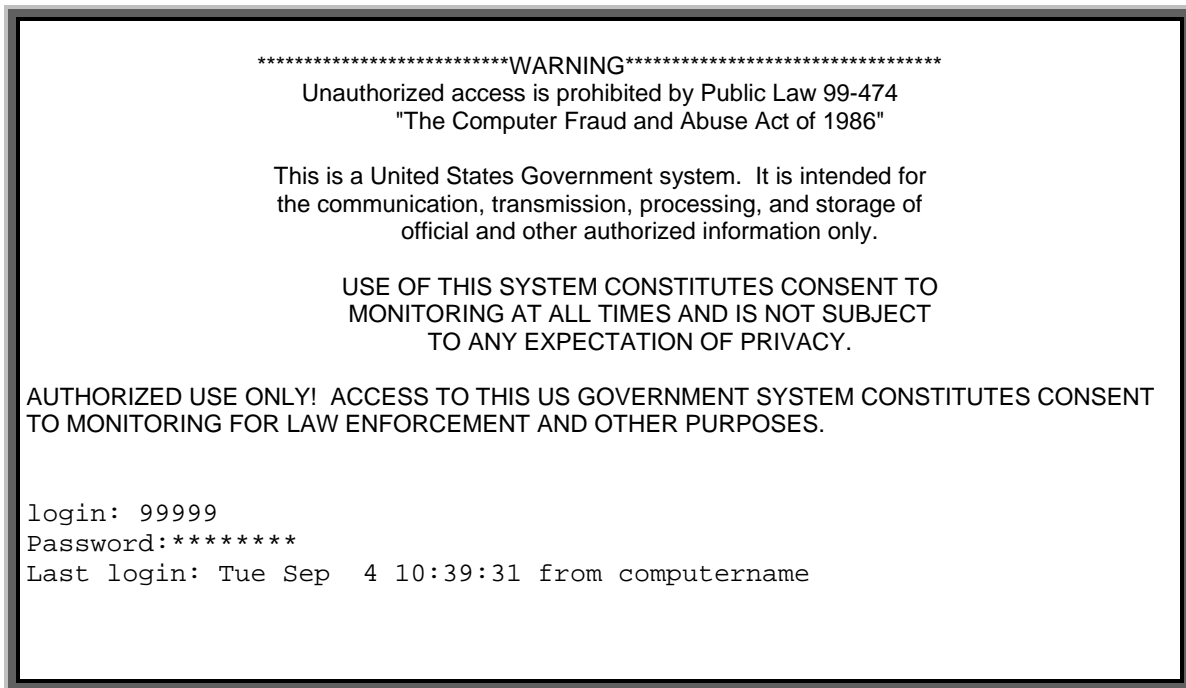


Exhibit 3-1 Trading Partner Login

If the TP successfully logs on to the Operating System, the "Official Use" banner shown in Exhibit 3-2 is displayed.

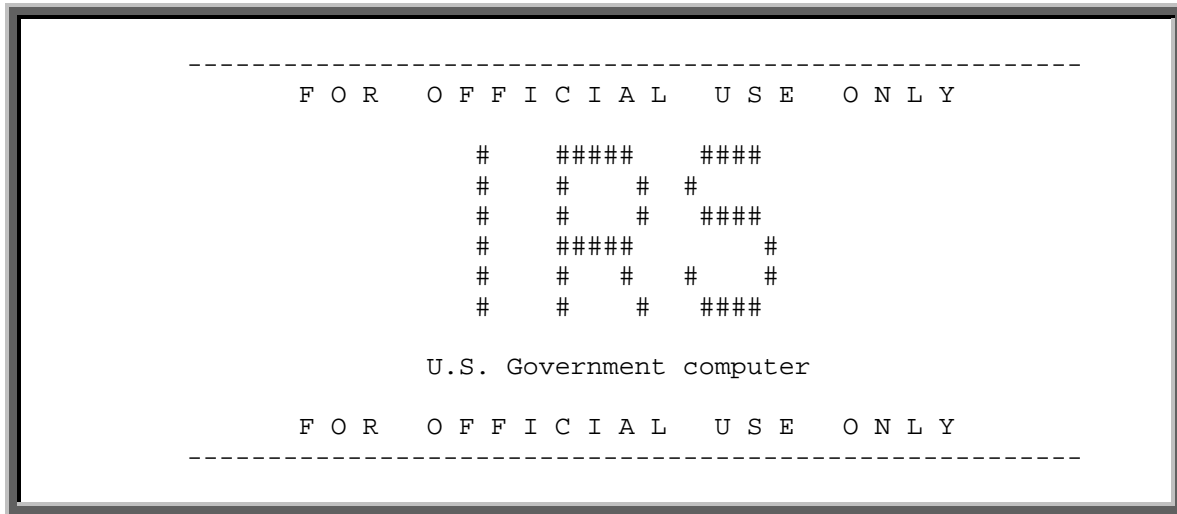


Exhibit 3-2 "Official Use" Banner

If the EMS application is not available because of scheduled down time, the message shown in Exhibit 3-3 is displayed and the TP is disconnected.

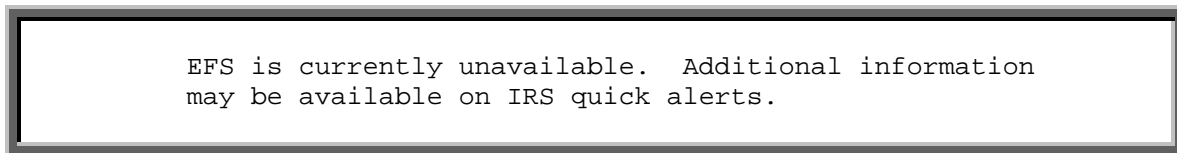


Exhibit 3-3 EFS Down Message

If the EMS application is unavailable for unscheduled reasons, the message shown in Exhibit 3-4 is displayed.

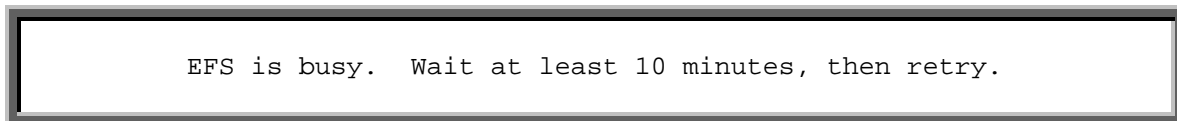


Exhibit 3-4 EFS Unscheduled Down Message

After each unsuccessful login attempt, due to the TP entering an incorrect login or password, the system displays "Login incorrect." After three consecutive unsuccessful login attempts, the TP is disconnected. After six consecutive unsuccessful login attempts (in two or more consecutive sessions) the TP's account is disabled. Once the account has been disabled, any attempt to login to the account causes the system to display the message "This account is currently disabled" and the login attempt fails. If this happens, the TP should contact the Home Submission Processing Center (SPC) EMS Help Desk.

If the TP account is active, the menu shown in Exhibit 3-5 is displayed.

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [ZMODEM]
- 4) Change Compression Method [NONE]
- 5) Request Transmission Status Report

Enter your choice:

Exhibit 3-5 Initial Main Menu Display

From the Main Menu, the TP can now choose to receive acknowledgment files and transmit a file, change the protocol and/or compression settings, request a Transmission Status Report, or end the session. Whenever the TP completes a process initially selected from the Main Menu other than Logoff, he/she is returned to the Main Menu screen.

The TP's current file transfer protocol is displayed in brackets next to the "Change File Transfer Protocol" menu item. The TP's current compression method is displayed in brackets next to the "Change Compression Method" menu item. The possible file transfer protocols and compression method values are identified in Section 4.2, where the "File Transfer Protocols" and "File Compression Methods" menus are discussed.

It should be noted that a TP's initial compression method is "NONE." Since the EMS does not auto-sense compressed files, a TP must select a compression method before submitting compressed files. If the TP has selected a compression method, his/her acknowledgment files and Transmission Status Report are compressed and returned using the selected compression method.

At any prompt, if the TP does not respond in a predetermined number of seconds the following message is displayed: "DISCONNECTING FROM EFS." and the TP is disconnected. Currently, this timeout value is set to 60 seconds.

If the TP enters a character that is not one of the listed number choices as shown in Exhibit 3-6, an invalid menu selection message along with the Main Menu is displayed as shown in Exhibit 3-7. If the TP fails to make a valid selection in three attempts, the TP is disconnected.

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [ZMODEM]
- 4) Change Compression Method [NONE]
- 5) Request Transmission Status Report

Enter your choice: 8 (or any other invalid character)

Exhibit 3-6 Main Menu Display with Invalid Response

Invalid menu selection. Try again.

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [ZMODEM]
- 4) Change Compression Method [NONE]
- 5) Request Transmission Status Report

Enter your choice:

Exhibit 3-7 Invalid Main Menu Selection Message

SECTION 4

CHANGING SETTINGS

This section explains how to change the TP's communication protocol and compression settings.

4.1 CHANGING THE TRANSMISSION PROTOCOL

To change the transmission protocol, the TP chooses "Change File Transfer Protocol" as shown in Exhibit 4-1.

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [ZMODEM]
- 4) Change Compression Method [NONE]
- 5) Request Transmission Status Report

Enter your choice: 3

Exhibit 4-1 Redisplay of Main Menu

When the TP chooses "Change File Transfer Protocol," the menu shown in Exhibit 4-2 is displayed. Brackets frame the TP's current file transfer protocol. The TP's initial setting is "ZMODEM."

FILE TRANSFER PROTOCOLS MENU

- 1) Return to MAIN MENU
- 2) [ZMODEM]
- 3) XMODEM-1K
- 4) YMODEM BATCH

Enter your choice:

Exhibit 4-2 Initial File Transfer Protocol Menu Display without FTP

Before a TP can use the FTP protocol, he/she must provide certain configuration information to the IRS. If this information does not exist in the EMS database, then "FTP" is not displayed as one of the available protocols as shown in Exhibit 4-2. If FTP configuration information has been provided to the IRS, then the menu shown in Exhibit 4-3 is displayed.

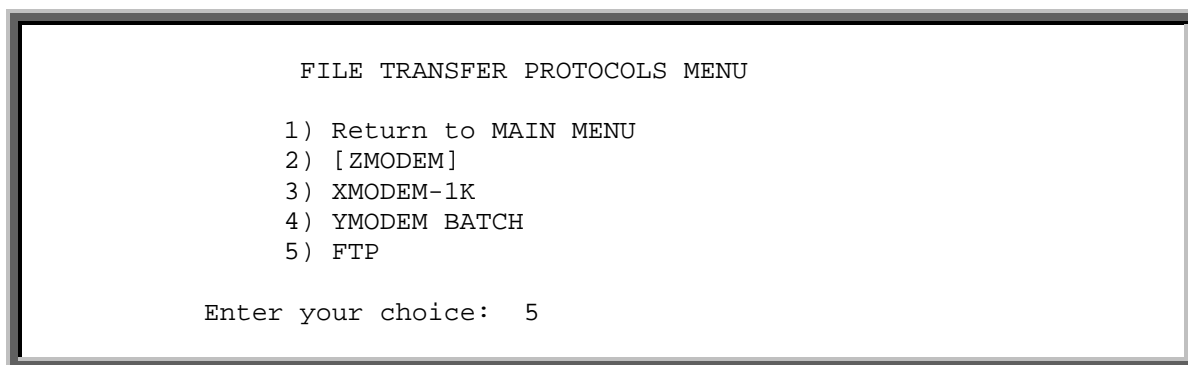


Exhibit 4-3 Initial File Transfer Protocol Menu Display with FTP

The TP can change the protocol or return to the Main Menu. If the TP selects a protocol, the Main Menu is redisplayed with the selected protocol in brackets as shown in Exhibit 4-4. This protocol setting is saved in the EMS database and is used for all future incoming/outgoing file transfers unless the TP changes the protocol again.

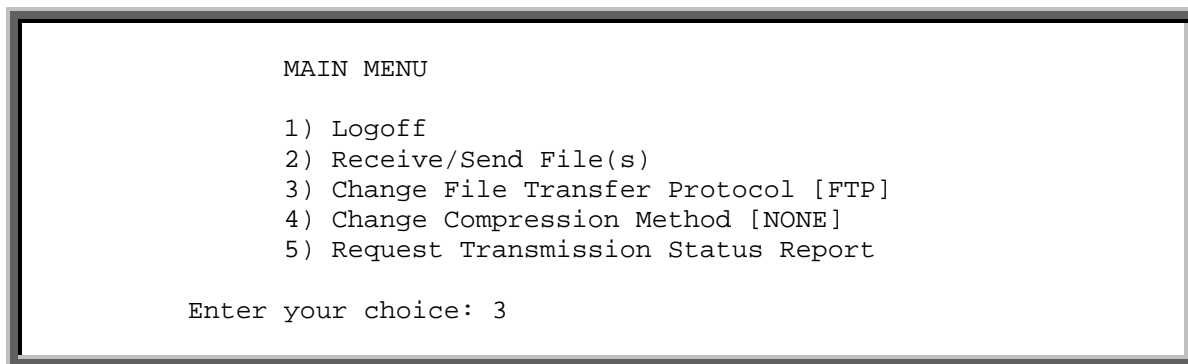


Exhibit 4-4 Redisplay of Main Menu after Protocol Change

While in the File Transfer Protocols Menu, any character other than one of the menu number choices is considered invalid (as shown in Exhibit 4-5).

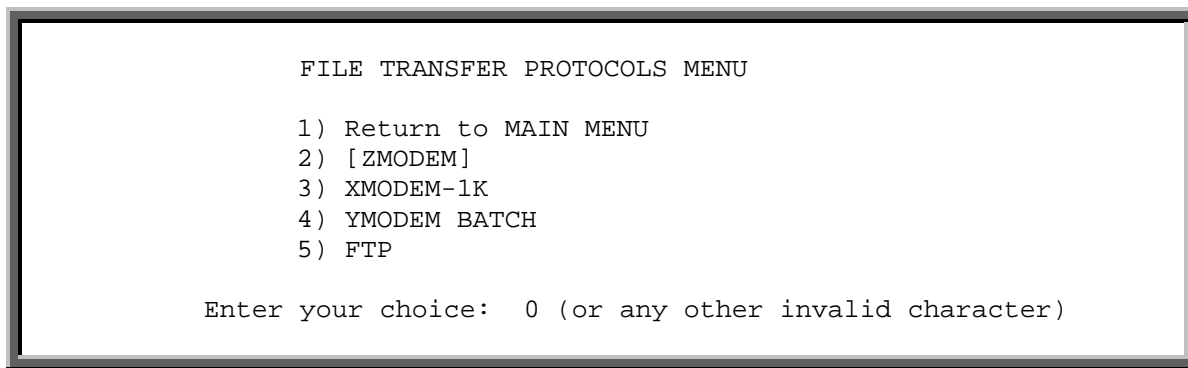


Exhibit 4-5 Invalid File Transfer Protocol Menu Selection

If the TP enters an invalid character, an invalid menu selection message along with the File Transfer Protocols Menu is displayed as shown in Exhibit 4-6. If the TP fails to make a valid selection in three attempts, the TP is disconnected.

Invalid menu selection. Try again.

FILE TRANSFER PROTOCOLS MENU

- 1) Return to MAIN MENU
- 2) [ZMODEM]
- 3) XMODEM-1K
- 4) YMODEM BATCH
- 5) FTP

Enter your choice:

Exhibit 4-6 Invalid File Transfer Protocol Menu Selection Response

After the TP chooses a valid option from the File Transfer Protocols Menu or chooses "Return to MAIN MENU," the Main Menu is redisplayed with the newly chosen protocol in brackets (Exhibit 4-7).

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [FTP]
- 4) Change Compression Method [NONE]
- 5) Request Transmission Status Report

Enter your choice:

Exhibit 4-7 Redisplay of Main Menu after Protocol Change

The TP can choose any menu item to continue or choose Logoff to end the session.

4.2 CHANGING THE COMPRESSION METHOD

To change the compression method, the TP chooses "Change Compression Method" from the Main Menu as shown in Exhibit 4-8.

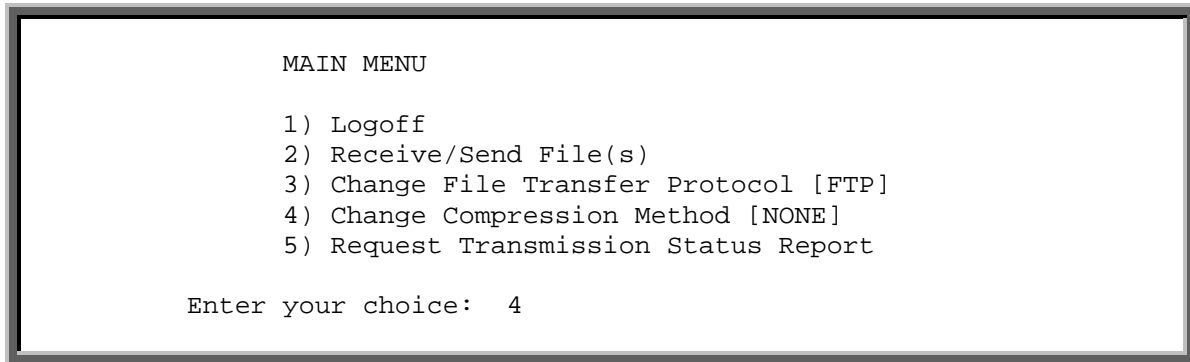


Exhibit 4-8 Display of Main Menu

The File Compression Methods Menu is displayed as shown in Exhibit 4-9. Brackets frame the current compression method. The two supported compression methods are gzip (a freeware program available at www.gzip.org) and compress (a Unix compression utility).

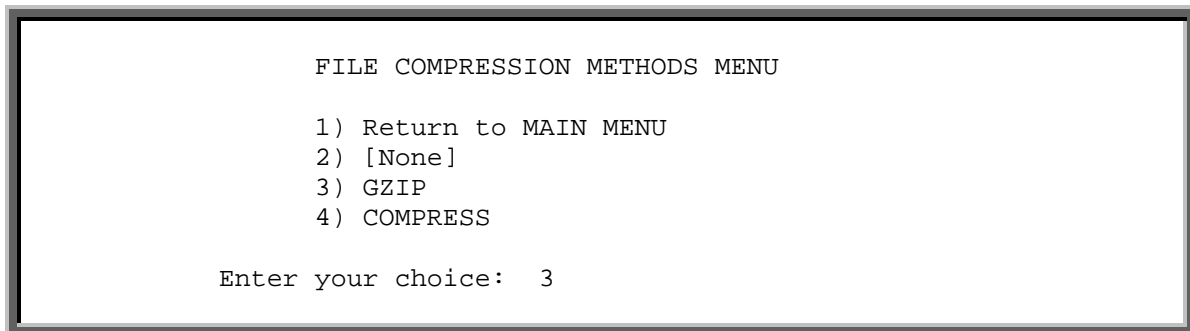


Exhibit 4-9 Initial File Compression Methods Menu Display

If the TP chooses a compression method, the Main Menu is redisplayed with the selected method framed by brackets as shown in Exhibit 4-10. This compression method setting is saved in the EMS database and is used for all future incoming/outgoing file transfers unless the TP changes the compression method again. The TP's initial setting is "None." Before using compression, the TP must select a method from the File Compression Methods Menu.

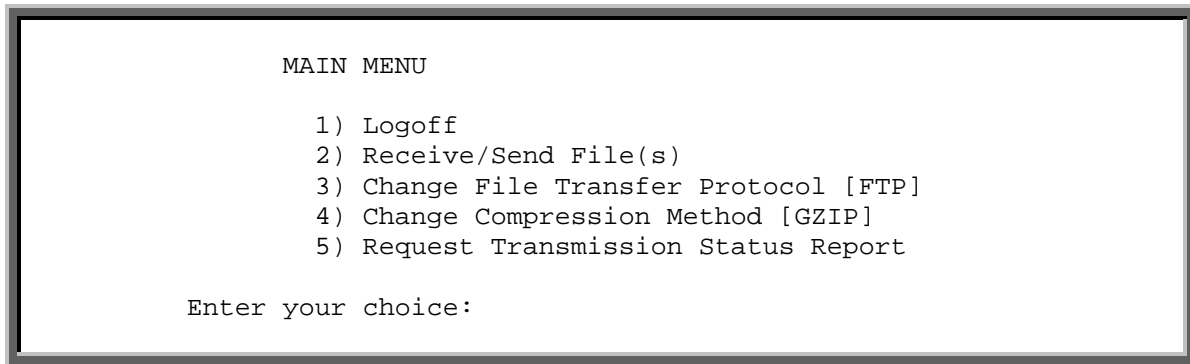


Exhibit 4-10 Main Menu Display After Change Compression Method Menu

While in the File Compression Methods Menu, if the TP enters a character other than one of the menu number choices (as shown in Exhibit 4-11), an invalid menu selection message along with the File Compression Methods Menu is displayed as shown in Exhibit 4-12. If the TP fails to make a valid selection in three attempts, the TP is disconnected.

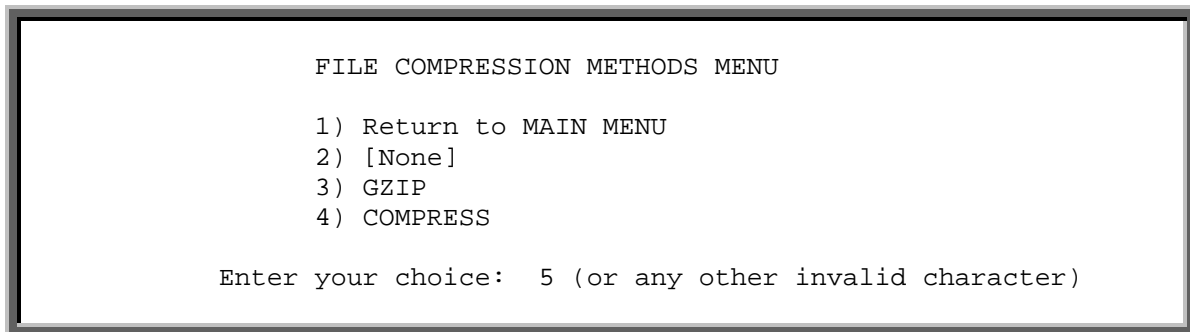


Exhibit 4-11 Invalid File Compression Menu Selection

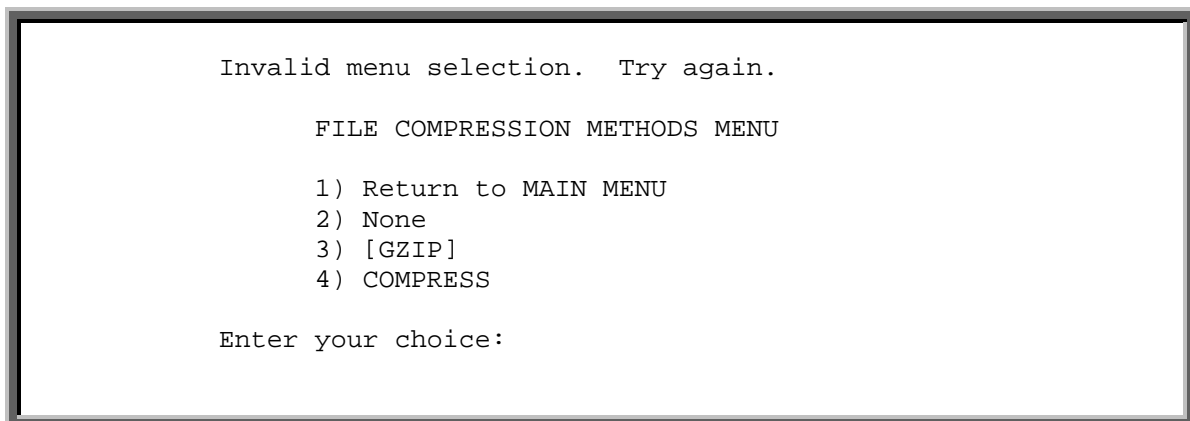


Exhibit 4-12 Invalid File Compression Methods Menu Selection Response

After the TP chooses a valid option from the File Compression Methods Menu (Exhibit 4-11) or chooses "Return to Main Menu," the Main Menu is redisplayed with the newly chosen compression method in brackets (Exhibit 4-13).

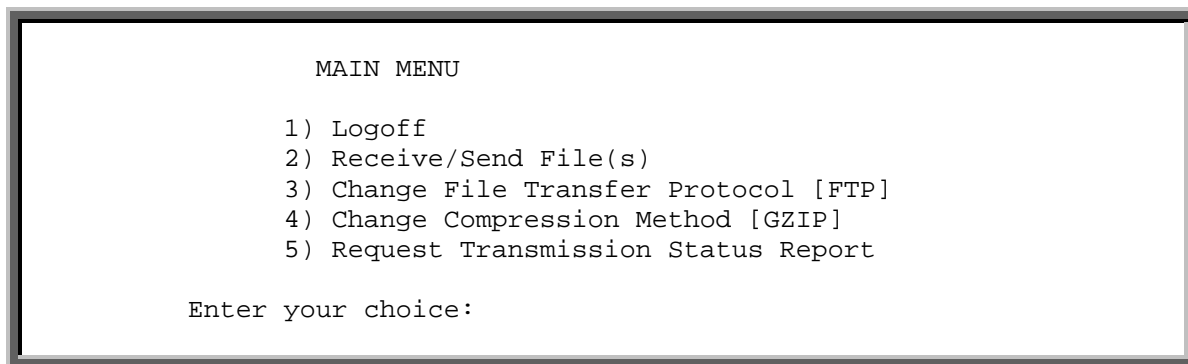


Exhibit 4-13 Main Menu Display After Change Compression Method Menu

The TP can now choose any menu item to continue or choose Logoff to end the session.

SECTION 5

RECEIVING ACKNOWLEDGMENTS

From the Main Menu, the TP receives acknowledgment files and/or transmits a file by choosing "Receive/Send File(s)." This section discusses receiving acknowledgment files, and Section 6 discusses sending files to the EMS system.

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [FTP]
- 4) Change Compression Method [GZIP]
- 5) Request Transmission Status Report

Enter your choice:

Exhibit 5-1 Main Menu Display

When the TP chooses the "Receive/Send File(s)" menu item, the EMS TP Interface software checks to see if there are acknowledgment files to be sent to the TP. If there are no acknowledgment files, the message in Exhibit 5-2 is displayed and processing continues as discussed in Section 6. This allows TPs to submit files even if there are no acknowledgment files awaiting TP receipt.

Number of Acknowledgment File(s) in outbound mailbox: 000

Exhibit 5-2 Zero Acknowledgment File Display

If there are acknowledgment files, the text shown in Exhibit 5-3 is displayed. The message shows the number of acknowledgment files waiting to be sent to the TP. All acknowledgment files waiting delivery to the TP are delivered before the TP can submit a file. The count of acknowledgment files is updated every time the TP selects item 2) Receive/Send File(s), from the Main Menu. Additional acknowledgment files that were generated during the session are reflected in this count.

Number of Acknowledgment File(s) in outbound mailbox: 003

Are you ready to receive files? Y/[N]: Y or y

Exhibit 5-3 One or More Acknowledgment Files Display

If the TP enters anything other than "Y" or "y," the Main Menu (Exhibit 5-1) is redisplayed. If the TP fails to respond affirmatively three consecutive times he/she is disconnected.

If the TP responds to the prompt affirmatively, a message notifying the TP that the file transfer is about to begin is displayed. The message depends on the protocol being used. For Zmodem, Xmodem or Ymodem, the message in Exhibit 5-4 is displayed. For FTP, the message shown in Exhibit 5-5 is displayed. The file transfer begins after the appropriate notice.

EFS ready for modem download.

Exhibit 5-4 Modem Download Notice

Putting File(s) by FTP.

Exhibit 5-5 FTP "Putting Files" Notice

All acknowledgment files are sent as separate files. If the TP is also using compression, each file is separately compressed. (See Appendix A for a description of acknowledgment file names.)

If the TP Interface software detects that the transmission did not complete successfully, the message in Exhibit 5-6 is displayed followed by the Main Menu (Exhibit 5-1). If this happens three times in a row, the TP is disconnected.

Error transmitting Acknowledgment File(s).

Exhibit 5-6 Acknowledgment File Transmission Error Message

If the TP Interface software does not detect an error, the message shown in Exhibit 5-7 is displayed.

Acknowledgment File(s) transmission complete.

Exhibit 5-7 Acknowledgment File Transmission Complete Message

Next, the TP is asked if he/she wants to send a file. Section 6 discusses sending files. After the receive acknowledgment process has completed, if the TP has been suspended, he/she is not allowed to transmit new files. Instead, the message "SUSPENDED TRANSMISSION/ETIN" is displayed, and the TP is disconnected from EMS (Exhibit 5-8).

SUSPENDED TRANSMITTER/ETIN.

DISCONNECTING FROM EFS.

Exhibit 5-8 Suspended TP Message

A suspended transmitter is allowed to log on to EMS to continue to receive acknowledgments but not allowed to transmit. Suspension occurs for the following reasons:

- Submission of a file with a virus (refer to Appendix B)
- Suspension by tax examiner for procedural reasons

Should this occur, the TP must contact the Home SPC, EMS Help Desk to request removal of the suspended status.

SECTION 6

SENDING FILES

This section describes the process of transmitting files to EMS. It details the messages and prompts for TPs registered as both reporting agents and transmitters, as reporting agents only, and as transmitters only. Processing differs depending on what roles the TP is registered for and what role the TP is using to send the current file.

TPs execute the process discussed here after receiving their acknowledgment files as described in Section 5. Section 6 is divided into the following sections:

- Starting the Send Process, Section 6.1
- TP Registered as Both Reporting Agent and Transmitter, Section 6.2
- Sending as Transmitter, Section 6.3
- Sending as Reporting Agent, Section 6.4

It is important to note the differences in the "Sending Files" screens based on a combination of the TP registration and the mode in which the file is being sent. When a TP is registered as both a transmitter and reporting agent, an additional prompt is displayed to determine how the TP is submitting the current file. Whenever the TP is acting as a reporting agent, there is an additional prompt asking for the reporting agent PIN.

6.1 STARTING THE SEND PROCESS

After the receive acknowledgements process has completed, or if there are no acknowledgment files to receive, the TP is asked if he/she wants to send a file as shown in Exhibit 6-1.

Do you want to send a file? Y/[N]: Y or y

Exhibit 6-1 Send Tax Return File Prompt

If the TP enters anything other than "Y" or "y," the Main Menu (Exhibit 5-1) is redisplayed. If there are no acknowledgment files for the TP to receive and the TP fails to respond affirmatively three times in a row, the TP is disconnected.

Otherwise, the next prompt depends on the file transfer protocol being used. If the TP is using Zmodem, Ymodem, or Xmodem, he/she is prompted to start the file transfer as shown in Exhibit 6-2.

Enter an upload command to your modem program now.

Exhibit 6-2 Modem Upload Prompt

If the TP is using the FTP protocol, he/she is prompted to supply a file name as shown in Exhibit 6-3. After supplying the file name the TP is notified that the FTP transfer is beginning. This notice is also shown in Exhibit 6-3.

Enter the LOCAL name of the file you
are sending from your system: myfile

Getting file by FTP.

Exhibit 6-3 FTP File Name Prompt

If the TP responds to the filename prompt in Exhibit 6-3 with only a carriage return (<CR>), then the notice shown in Exhibit 6-4 is displayed. If the TP responds with only a <CR> three times in a row, the TP is disconnected.

Invalid file name.

Enter the LOCAL name of the file you
are sending from your system: <CR>

Exhibit 6-4 Invalid File Name Message

Once the TP has been notified that the file transfer is beginning (Exhibit 6-2 or 6-3), the TP has 60 seconds to begin his/her file transfer. If the EMS does not receive at least part of the TP's file within 60 seconds, the TP is disconnected.

If the TP Interface software detects that the transmission did not complete successfully, the message in Exhibit 6-5 is displayed followed by the Main Menu. If this happens three consecutive times, the TP is disconnected.

Error receiving file. You must send it again.

Exhibit 6-5 Transmission Receipt Error Message

If the TP Interface software does not detect an error, the prompts received vary depending on how the TP is registered and how the TP is sending the file (as either transmitter or reporting agent). These prompts are described in the sections below. See Section 2 for a description of TP registration types.

6.2 TP REGISTERED AS BOTH REPORTING AGENT AND TRANSMITTER

If a TP can submit files as both as a transmitter and a reporting agent, the query in Exhibit 6-6 is displayed.

Are you submitting this file as a reporting agent? Y/[N]: N or n

Exhibit 6-6 Reporting Agent Query

If the TP responds with "N" or "n," processing continues as in Section 6.3, Sending as Transmitter. If the TP responds with "Y" or "y" to the prompt, processing continues as in Section 6.4, Sending as Reporting Agent.

See Section 9, Exhibits 9-2 and 9-3 for examples of a complete session where TPs can be both a transmitter and a reporting agent.

6.3 SENDING AS TRANSMITTER

When a TP is registered only as a Transmitter or has answered "N" or "n" to the prompt shown in Exhibit 6-6, processing continues as follows.

If the TP Interface software does not detect an error, the transmission confirmation message shown in Exhibit 6-7 is displayed followed by the Main Menu (Exhibit 6-8). If the TP hangs up without receiving the confirmation message, there is no guarantee that the EMS will process the file(s).

The transmission confirmation message contains the Global Transmission Key (GTX Key) and the reference file name. The GTX Key is the unique identifier assigned by the EMS to the file sent by the TP, and is used to track the processing of the file and its subsequent acknowledgment. The reference file name is used when constructing the name of the acknowledgment file delivered to the TP. (See Appendix A for a description of the GTX Key and its relationship to the reference file name.)

Transmission file has been received with the following GTX Key:

S20041020123423.1700

10200001

Exhibit 6-7 Transmission Confirmation Message Display

The Main Menu is displayed again as shown in Exhibit 6-8. The TP can choose any menu item to continue or Logoff to end the session.

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [FTP]
- 4) Change Compression Method [GZIP]
- 5) Request Transmission Status Report

Enter your choice:

Exhibit 6-8 Main Menu Display

See Section 9, Exhibit 9-1 for an example of a complete session where TP is registered only as a transmitter.

6.4 SENDING AS REPORTING AGENT

When a TP is registered only as a reporting agent or has answered "Y" or "y" to the prompt shown in Exhibit 6-6, processing continues as follows.

If the TP Interface software does not detect an error, the jurat is displayed along with a prompt for the TP signature as shown in Exhibit 6-9.

Under penalties of perjury, I declare that to the best of my knowledge and belief the tax returns being submitted electronically in the file identified as follows:

IRS Generated GTX Key

S20041020123423.1700

are true, correct and complete, and I have filed Reporting Agent Authorizations for Magnetic Tape/Electronic Filers (Forms 8655) with the IRS for all tax returns being submitted.

You make the above declaration by entering the Personal Identification Number ("PIN") assigned to you for the purpose of signing these tax returns. This will be your signature.

Please enter PIN to sign the tax return(s): mypin

Exhibit 6-9 Jurat Display and PIN Prompt

If the TP enters an invalid PIN, the message shown in Exhibit 6-10 is displayed. If the TP does not successfully sign the jurat in three tries, then the TP is disconnected.

Invalid PIN.

Exhibit 6-10 Invalid PIN Notice

After the TP has successfully signed the jurat, the transmission confirmation message is displayed as shown in Exhibit 6-11. The transmission confirmation message contains the Global Transmission Key (GTX Key) and the reference file name. The GTX Key is the unique identifier assigned by the EMS to the file sent by the TP, and is used to track the processing of the file and its subsequent acknowledgment. The reference file name is used when constructing the name of the acknowledgment file delivered to the TP. (See Appendix A for a description of the GTX Key and its relationship to the reference file name.)

Transmission file has been received with the following GTX key:

S20041020123423.1700

10200001

Exhibit 6-11 Transmission Confirmation Message Display

The Main Menu is displayed again as shown in Exhibit 6-12. The TP can choose any menu item to continue or Logoff to end the session.

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [FTP]
- 4) Change Compression Method [GZIP]
- 5) Request Transmission Status Report

Enter your choice:

Exhibit 6-12 Redisplay of Main Menu

See Section 9, Exhibit 9-5 for an example of a complete session where the TP is registered only as a reporting agent.

SECTION 7

REQUEST TRANSMISSION STATUS REPORT

A Transmission Status Report may be requested from the Main Menu shown in Exhibit 7-1. Examples of Transmission Status Reports are contained in Appendix D. A transmission status report will show the status of all transmissions submitted by the TP since 12:00 a.m. five days ago. If the TP is a registered State Ack transmitter, the report shows the status of all acknowledgments that have been received and redirected to a TP since 12:00 a.m. five days ago. Only one report may be requested per TP session. The report is returned to the TP in an HTML format file that is suitable for viewing with a Web browser after the TP session completes.

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [FTP]
- 4) Change Compression Method [GZIP]
- 5) Request Transmission Status Report

Enter your choice: 5

Exhibit 7-1 Main Menu Display

When the TP chooses the "Request Transmission Status Report" menu item, a message notifying the TP that the report transfer is about to begin is displayed. The message depends on the protocol being used. For Zmodem, Xmodem, or Ymodem, the message in Exhibit 7-2 is displayed. For FTP, the message shown in Exhibit 7-3 is displayed. The file transfer will begin after the appropriate notice.

EFS ready for Report download.

Exhibit 7-2 Modem Download Notice

Putting Report by FTP.

Exhibit 7-3 FTP "Putting Report File" Notice

If the TP is also using compression, the report is compressed. (See Appendix D for a description of Transmission Status Report file names.)

If the TP Interface software detects that the transmission did not complete successfully, the message in Exhibit 7-4 is displayed followed by the Main Menu (Exhibit 7-1). If this happens three times in a row, the TP is disconnected.

Error transmitting Report File.

Exhibit 7-4 Report File Transmission Error Message

If the TP Interface software does not detect an error, the message shown in Exhibit 7-5 is displayed.

Report File transmission complete.

Exhibit 7-5 Report File Transmission Complete Message

After the file transfer has completed, the Main Menu is redisplayed as shown in Exhibit 7-1.

TPs can make only one report request per session. If the TP tries to request a report again, the message shown in Exhibit 7-6 is displayed followed by the Main Menu (Exhibit 7-1). If this happens three times in a session, the TP is disconnected.

Only one Report request allowed.

Exhibit 7-6 Report Request Error

SECTION 8

LOGGING OFF THE SYSTEM

After completing a process initially selected from the Main Menu other than Logoff, the Main Menu is redisplayed as shown in Exhibit 8-1. The TP can now end the session by choosing "Logoff."

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [FTP]
- 4) Change Compression Method [GZIP]
- 5) Request Transmission Status Report

Enter your choice: 1

Exhibit 8-1 Redisplay of Main Menu

The TP Interface software performs any necessary cleanup activities, records statistical information in the EMS database, and then displays the message shown in Exhibit 8-2. The TP should not hang up before receiving the disconnect message. If he/she does hang up prematurely, the EMS may not complete its cleanup activities. This could result in the TP receiving his/her acknowledgment files again in the next login session or having the submission file discarded.

DISCONNECTING FROM EFS.

Exhibit 8-2 End of TP Session Message

SECTION 9

TRADING PARTNER SESSION EXAMPLES

Exhibits 9-1 and 9-2 illustrate a complete TP session when the TP can be only a transmitter. It includes TP login, receipt of acknowledgment files, transmission of a tax return file, and session termination.

```
*****WARNING*****
Unauthorized access is prohibited by Public Law 99-474
"The Computer Fraud and Abuse Act of 1986"

This is a United States Government system. It is intended for
the communication, transmission, processing, and storage of
official and other authorized information only.

USE OF THIS SYSTEM CONSTITUTES CONSENT TO
MONITORING AT ALL TIMES AND IS NOT SUBJECT
TO ANY EXPECTATION OF PRIVACY.

AUTHORIZED USE ONLY! ACCESS TO THIS US GOVERNMENT SYSTEM CONSTITUTES CONSENT
TO MONITORING FOR LAW ENFORCEMENT AND OTHER PURPOSES.

login: 99999
Password:*****
Last login: Tue Sep  4 10:39:31 from computername

-----
  F O R   O F F I C I A L   U S E   O N L Y

      #   #####   #####
      #   #       #   #
      #   #       #   #####
      #   #####           #
      #   #       #   #   #
      #   #       #   #####

      U.S. Government computer

  F O R   O F F I C I A L   U S E   O N L Y
-----

MAIN MENU

1) Logoff
2) Receive/Send File(s)
3) Change File Transfer Protocol [ZMODEM]
4) Change Compression Method [NONE]
5) Request Transmission Status Report

Enter your choice:  2
```

**Exhibit 9-1 Transmitter TP Session to Pick Up Acknowledgments
and Transmit a Tax Return File**


```
Number of Acknowledgment File(s) in outbound mailbox: 003

Are you ready to receive files? Y/[N]: Y

EFS ready for modem download.

Acknowledgment File(s) transmission complete.

Do you want to send a file? Y/[N]: Y

Enter an upload command to your modem program now.

Transmission file has been received with the following GTX Key:

S20041020123423.1700                10200001

MAIN MENU

1) Logoff
2) Receive/Send File(s)
3) Change File Transfer Protocol [ZMODEM]
4) Change Compression Method [NONE]
5) Request Transmission Status Report

Enter your choice: 1

DISCONNECTING FROM EFS.
```

**Exhibit 9-2 Transmitter TP Session to Pick Up Acknowledgments
and Transmit a Tax Return File (Registered Only as Transmitter)**

Exhibit 9-3 illustrates a complete TP session when the TP can be either a transmitter or a reporting agent and is submitting a file as a transmitter. It includes TP login, receipt of acknowledgment files, transmission of a tax return file, and session termination.

```
*****WARNING*****
Unauthorized access is prohibited by Public Law 99-474
"The Computer Fraud and Abuse Act of 1986"

This is a United States Government system. It is intended for
the communication, transmission, processing, and storage of
official and other authorized information only.

USE OF THIS SYSTEM CONSTITUTES CONSENT TO
MONITORING AT ALL TIMES AND IS NOT SUBJECT
TO ANY EXPECTATION OF PRIVACY.

AUTHORIZED USE ONLY! ACCESS TO THIS US GOVERNMENT SYSTEM CONSTITUTES CONSENT
TO MONITORING FOR LAW ENFORCEMENT AND OTHER PURPOSES.

login: 99999
Password:*****
Last login: Tue Sep  4 10:39:31 from computername

-----
      F O R   O F F I C I A L   U S E   O N L Y

      #   #####   #####
      #   #       #   #
      #   #       #   #####
      #   #####           #
      #   #       #   #   #
      #   #       #   #####

      U.S. Government computer

      F O R   O F F I C I A L   U S E   O N L Y
-----
```

**Exhibit 9-3 Transmitter TP Session to Pick Up Acknowledgments
and Transmit a Tax Return File
(Registered as Transmitter and Reporting Agent)**

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [ZMODEM]
- 4) Change Compression Method [NONE]
- 5) Request Transmission Status Report

Enter your choice: 2

Number of Acknowledgment File(s) in outbound mailbox: 003

Are you ready to receive files? Y/[N]: Y

EFS ready for modem download.

Acknowledgment File(s) transmission complete.

Do you want to send a file? Y/[N]: Y

Enter an upload command to your modem program now.

Are you submitting this file as a reporting agent? Y/[N]: N

Transmission file has been received with the following GTX Key:

S20041020123423.1700

10200001

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [ZMODEM]
- 4) Change Compression Method [NONE]
- 5) Request Transmission Status Report

Enter your choice: 1

DISCONNECTING FROM EFS.

**Exhibit 9-3 (A) Transmitter TP Session to Pick Up Acknowledgments
and Transmit a Tax Return File
(Registered as Transmitter and Reporting Agent)**

Exhibit 9-4 illustrates a complete TP session when the TP can be either a transmitter or a reporting agent and is submitting a file as a reporting agent. It includes TP login, receipt of acknowledgment files, transmission of a tax return file, and session termination.

```
*****WARNING*****
Unauthorized access is prohibited by Public Law 99-474
"The Computer Fraud and Abuse Act of 1986"

This is a United States Government system. It is intended for
the communication, transmission, processing, and storage of
official and other authorized information only.

USE OF THIS SYSTEM CONSTITUTES CONSENT TO
MONITORING AT ALL TIMES AND IS NOT SUBJECT
TO ANY EXPECTATION OF PRIVACY.

AUTHORIZED USE ONLY! ACCESS TO THIS US GOVERNMENT SYSTEM CONSTITUTES CONSENT
TO MONITORING FOR LAW ENFORCEMENT AND OTHER PURPOSES.

login: 99999
Password:*****
Last login: Tue Sep  4 10:39:31 from computername

-----
F O R   O F F I C I A L   U S E   O N L Y

      #   #####   #####
      #   #   #   #
      #   #   #   #####
      #   #####   #
      #   #   #   #   #
      #   #   #   #####

      U.S. Government computer

      F O R   O F F I C I A L   U S E   O N L Y
-----
```

**Exhibit 9-4 Reporting Agent TP Session to Pick Up Acknowledgments
and Transmit a Tax Return File
(Registered as Transmitter and Reporting Agent)**

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [ZMODEM]
- 4) Change Compression Method [NONE]
- 5) Request Transmission Status Report

Enter your choice: 2

Number of Acknowledgment File(s) in outbound mailbox: 003

Are you ready to receive files? Y/[N]: Y

EFS ready for modem download.

Acknowledgment File(s) transmission complete.

Do you want to send a file? Y/[N]: Y

Enter an upload command to your modem program now.

Are you submitting this file as a reporting agent? Y/[N]: Y

Under penalties of perjury, I declare that to the best of my knowledge and belief the tax returns being submitted electronically in the file identified as follows:

IRS Generated GTX Key

S20041020123423.1700

are true, correct and complete, and I have filed Reporting Agent Authorizations for Magnetic Tape/Electronic Filers (Forms 8655) with the IRS for all tax returns being submitted.

You make the above declaration by entering the Personal Identification Number ("PIN") assigned to you for the purpose of signing these tax returns. This will be your signature.

**Exhibit 9-4 (A) Reporting Agent TP Session to Pick Up Acknowledgments and Transmit a Tax Return File
(Registered as Transmitter and Reporting Agent)**

```
Please enter PIN to sign the tax return(s): mypin

Transmission file has been received with the following GTX key:

S20041020123423.1700                      10200001

      MAIN MENU

      1) Logoff
      2) Receive/Send File(s)
      3) Change File Transfer Protocol [ZMODEM]
      4) Change Compression Method [NONE]
      5) Request Transmission Status Report

Enter your choice:  1

DISCONNECTING FROM EFS.
```

**Exhibit 9-4 (B) Reporting Agent TP Session to Pick Up Acknowledgments
and Transmit a Tax Return File
(Registered as Transmitter and Reporting Agent)**

Exhibit 9-5 illustrates a complete TP session when the TP is registered only as a reporting agent. It includes TP login, receipt of acknowledgment files, transmission of a tax return file, and session termination.

```
*****WARNING*****
Unauthorized access is prohibited by Public Law 99-474
"The Computer Fraud and Abuse Act of 1986"

This is a United States Government system. It is intended for
the communication, transmission, processing, and storage of
official and other authorized information only.

USE OF THIS SYSTEM CONSTITUTES CONSENT TO
MONITORING AT ALL TIMES AND IS NOT SUBJECT
TO ANY EXPECTATION OF PRIVACY.

AUTHORIZED USE ONLY! ACCESS TO THIS US GOVERNMENT SYSTEM CONSTITUTES CONSENT
TO MONITORING FOR LAW ENFORCEMENT AND OTHER PURPOSES.

login: 99999
Password:*****
Last login: Tue Sep  4 10:39:31 from computername

-----
      F O R   O F F I C I A L   U S E   O N L Y

      #   #####   #####
      #   #       #   #
      #   #       #   #####
      #   #####           #
      #   #       #   #   #
      #   #       #   #####

      U.S. Government computer

      F O R   O F F I C I A L   U S E   O N L Y
-----
```

**Exhibit 9-5 Reporting Agent TP Session to Pick Up Acknowledgments
and Transmit a Tax Return File
(Registered Only as Reporting Agent)**

MAIN MENU

- 1) Logoff
- 2) Receive/Send File(s)
- 3) Change File Transfer Protocol [ZMODEM]
- 4) Change Compression Method [NONE]
- 5) Request Transmission Status Report

Enter your choice: 2

Number of Acknowledgment File(s) in outbound mailbox: 003

Are you ready to receive files? Y/[N]: Y

EFS ready for modem download.

Acknowledgment File(s) transmission complete.

Do you want to send a file? Y/[N]: Y

Enter an upload command to your modem program now.

| Under penalties of perjury, I declare that to the |
| best of my knowledge and belief the tax returns |
| being submitted electronically in the file |
| identified as follows: |

| IRS Generated GTX Key |

| -----
| S20041020123423.1700 |

| are true, correct and complete, and I have filed |
| Reporting Agent Authorizations for Magnetic Tape/ |
| Electronic Filers (Forms 8655) with the IRS for all |
| tax returns being submitted. |

You make the above declaration by entering the Personal
Identification Number ("PIN") assigned to you for the
purpose of signing these tax returns. This will be your
signature.

**Exhibit 9-5 (A) Reporting Agent TP Session to Pick Up Acknowledgments
and Transmit a Tax Return File
(Registered Only as Reporting Agent)**


```
Please enter PIN to sign the tax return(s): mypin

Transmission file has been received with the following GTX key:

S20041020123423.1700                10200001

      MAIN MENU

      1) Logoff
      2) Receive/Send File(s)
      3) Change File Transfer Protocol [ZMODEM]
      4) Change Compression Method [NONE]
      5) Request Transmission Status Report

Enter your choice:  1

DISCONNECTING FROM EFS.
```

**Exhibit 9-5 (B) Reporting Agent TP Session to Pick Up Acknowledgments
and Transmit a Tax Return File
(Registered as Transmitter and Reporting Agent)**

